



Charlie Daniels
Secretary of State

State
of Arkansas

Secretary of State

A

REQUEST FOR PROPOSALS

FOR A STATEWIDE,

HELP AMERICA VOTE ACT COMPLIANT,

VOTER REGISTRATION

AND

ELECTION MANAGEMENT SYSTEM

October 1, 2004

As Amended 10/22/2004

INTRODUCTION

The State of Arkansas is soliciting proposals for an integrated Help America Vote Act (HAVA) compliant, centralized voter registration system for initial delivery, installation, testing and operation in 75 Arkansas counties and the offices of the Arkansas Secretary of State (SOS) by December 31, 2005. The vendor solution to the voter registration system (VRS) and election management system chosen for Arkansas will include software, training, support, warranty and maintenance for HAVA compliant and Arkansas specific voter registration, election management, election reporting systems, and installation services.

ISSUING AGENCY

The Arkansas (SOS) issues this Request for Proposal (RFP) and will designate a Project Manager as point of contact in the State of Arkansas for the procurement process. During the time between the proposal opening and contract award, any contact other than written questions concerning this RFP will be initiated by the issuing office not the vendor. Specifically, the person named herein will initiate all contact.

GOALS AND OBJECTIVES

To implement the requirements of The Help America Vote Act of 2002, Public Law 107-252, 42 U.S.C. 15301-15545 the State will implement “a single, uniform, official, centralized, interactive computerized statewide voter registration list defined, maintained, and administered at the State level that contains the name and registration information of every legally registered voter in the State”. The electronic record maintained by the State will become the Official Election Record for all official election functions.

Currently, the voter registration records in the State of Arkansas are maintained by each of the individual 75 counties. This change will cause a consolidation and conversion of all 75 systems into one single statewide system. The statewide system will utilize the driver’s license number and/or the last four digits of the social security number (or will assign a unique identifier to the record) with the intent of tracking all election activity to a single record for each voter statewide, across all counties. Other requirements include coordination with state agency databases from the Arkansas Department of Motor Vehicles, the Arkansas Crime Information Center, and the Arkansas Department of Health. List maintenance requirements defined by HAVA direct that every effort be made to remove – within the guidelines of the National Voter Registration Act - duplicate records, records of felons, deceased voters, and records of voters who have moved out of the jurisdiction from the state voter registration database. Further, the requirements direct that every effort be made to insure that only those who should be removed are removed, and that every eligible voter appears on the list.

Project’s Supporting Objectives.

The overall objectives of this project are as follows:

- ❑ Meet all federal government January 1, 2006 date requirements for achievement milestones.

- ❑ Implement a data model of One Voter, One Record (statewide). When a voter moves from county to county, or moves back and forth between various active and non-active status values, the core voter record is retained, all activity is recorded against one record.
- ❑ Document a solution model for Voter Registration that can be achieved with the funding available, and can be adequately maintained over the long term with the projected funds available.
- ❑ Conduct professional communications with county election officials across the State, providing information and soliciting input on conversion issues, training, equipment installation, and procedural changes.
- ❑ Document the requirements to meet the needs of the most populous counties, as well as the least populous counties.
- ❑ Work with the selected vendor to effectively convert data and images from all the counties to a single central system.
- ❑ Preserve content integrity and transaction detail through conversions and retain all flags for secure confidential records.
- ❑ Insure that comprehensive and useful training is provided to all users.
- ❑ Implement standard and effective project management controls with the selected vendor to insure that expectations and deliverables are met.

STATE PROFILE

The State of Arkansas currently employs a single, uniform VRS supported by Accenture eDemocracy Services. Voter registration records are managed by 75 individual County Clerks, and separately housed at 83 distinct locations within Arkansas's 75 counties. The Arkansas SOS, Elections Division, maintains a single, consolidated record of the voter registration data of all 75 counties by means of periodic downloads. Connectivity between the SOS and most of the 75 counties is currently via 56K dial-up. The SOS expects to provide 384K Fractional T1 connectivity or other higher-speed data communications capability with the new VR system.

As a result of the passage of HAVA, changes will be made (some already implemented) to election processes and procedures, software and hardware. Some changes will be uniform statewide. Other changes will vary from county to county. The solution chosen for Arkansas must function effectively and efficiently in all the possible variant environments of all of Arkansas's 75 counties.

RFP SCOPE

The scope of this RFP addresses:

- A. Procurement procedures and schedule;
- B. Project management planning;

- C. Solution Development and Delivery;
- D. System Installation;
- E. Testing;
- F. System Implementation;
- G. Voter Registration administration support;
- H. Management and support of elections;
- I. Election Reporting support;
- J. Inter-Agency data sharing support;
- K. Warranty;
- L. Maintenance;
- M. Training and education for software and hardware deployment for county and state elections personnel;
- N. Change management to assist counties in adapting to the new system and processes; and
- O. System acceptance and payment procedures.

The proposal must be for a completely integrated, centralized statewide voter registration and election management system employing a dedicated election database software system. At a minimum, this system must be capable of: HAVA compliant voter registration management; data exchange between the SOS and the Arkansas Department of Motor Vehicles and the Arkansas Administrative Office of the Courts; jury list management; geographic information interface, management, and applications; central statewide and local election preparation; programming for and production of mail-out absentee ballot configuration data; and support of early voting and certain election day operations; These specific requirements must be documented to be part of the offeror's installation experience as a component of this RFP's **Mandatory Requirements**, part **A**.

All offerors must be familiar with Arkansas's election laws, rules and procedures including the structure of our state's election system. Offeror's proposals shall describe in detail their working knowledge of such laws, rules and procedures, and will be carefully evaluated on their respective operational knowledge of our state's election system.

RFP PROJECT MANAGEMENT

The State of Arkansas will fully manage the release, response to, and evaluation of the RFP and reserves the right to extend all deadlines specified therein, as well as make any amendments to the RFP as may be required by legal and/or business requirements of the SOS's Office. The SOS will establish an evaluation team responsible for the review, scoring and acceptance of proposals. The SOS and designated evaluators will have responsibility for rejecting any proposals that do not fully conform to the mandatory requirements of this RFP, and for evaluating and scoring all those proposals which do meet mandatory requirements.

The SOS reserves the right, upon initial evaluation of proposals, to conduct reference checks and site visits in jurisdictions using the product described in the proposal. The SOS may also request on-site vendor demonstrations from qualified bidders.

Upon selection of the preferred proposal, the SOS shall enter into contract negotiations with the selected offeror. The preferred proposal shall be defined as the proposal that, after the evaluation of both technical and cost proposals and satisfaction of all other mandatory

requirements, provides the best overall solution and the best value for the State of Arkansas as determined solely by the SOS.

The Project Manager will provide oversight and general administration from the time of the release of this RFP, through execution of a contract and until the conclusion of the contract. The Project Manager shall be the primary point of contact during the project.

From the date of the issue of this RFP until a successful offeror is selected and the selection is announced by the SOS, offerors or their agents are not allowed to communicate with any county clerk or any member of his or her staff, any commissioner or staff member of any county election commission, or any SOS staff member concerning this RFP except through the Project Manager. For violation of this provision, the SOS shall reserve the right to reject the proposal of the offending offeror.

Among other rights in this RFP, the SOS reserves the right, in his sole discretion:

1. To amend this RFP in any way that suits the legal and business requirements of the State of Arkansas;
2. To extend the deadline for submitting proposals;
3. To decide whether a proposal does or does not substantially comply with the requirements of this RFP;
4. To waive any minor irregularity, informality, or nonconformance with this RFP;
5. To obtain and/or provide references to other public agencies, upon request, regarding the proposer's contract performance;
6. At any time prior to contract execution (including after announcement of the successful proposer): (a) to reject any proposal that fails to substantially comply with all prescribed RFP procedures and requirements; and (b) to reject all proposals received and cancel this effort;
7. To accept entire responses or portions of responses from one vendor or multiple vendors;
8. To not completely review, investigate the references or qualification of those who submit proposals, or analyze proposals of offerors where the Arkansas SOS determines, in good faith, the proposal is on its face non-responsive to any Mandatory Requirement or other obligation of the RFP;
9. To return proposals, unopened, received after the deadline specified in the RFP Selection Process Sequence (below); and
10. To use information submitted in response to this document in any manner he may deem appropriate in evaluating the fitness of the solutions proposed and the financial stability of the vendor and all subcontractors.

RFP CLARIFICATION AND QUESTIONS

If additional information is necessary to enable offerors to better interpret the information contained in the RFP, written questions shall be submitted by E-mail and will be accepted until the close of business on the date indicated in the RFP. Offeror questions submitted in writing will be consolidated and responded to by the State. The consolidated written State response will be distributed to all offerors who attend the pre-proposal conference specified in the RFP. Questions should be sent by E-mail to:

Arkansas Secretary of State
c/o Harold K. Grimmett
HAVA Project Manager
Room 256
State Capitol
Little Rock, Arkansas 72201

hkgrimmett@sosmail.state.ar.us

Written questions are due no later than October 14, 2004 at 12:00 noon (Central) in order to receive responses by the pre-proposal conference on October 15, 2004.

The Secretary of State will conduct a vendor pre-proposal meeting by telephone conference on October 15, 2004 at 2:00 p.m. for the purpose of discussing all properly submitted questions.
PARTICIPATION IN THIS AUDIOCONFERENCE IS MANDATORY FOR ALL COMPANIES THAT INTEND TO SUBMIT A PROPOSAL. At least one authorized representative from a company intending to submit a proposal must notify the the project manager listed above by e-mail not later than October 14, 2004, at 12:00 noon (Central) of the firm's intent to participate in the conference call. At that time vendors will receive instructions for participating in the audioconference.

Upon release of the RFP, offerors, their agents and representatives are prohibited from discussions concerning this RFP with any person, other than the Project Manager, that may be involved in evaluating responses to this RFP.

All proposal claims and responses may be independently verified. Any untrue or exaggerated claims will result in immediate dismissal of the entire proposal.

Any statement in this document, which contains the words "must" or "shall" means that compliance with the intent of the statement is mandatory, and failure by the offeror to satisfy that intent will cause the proposal to be rejected.

Cost proposals must be submitted under separate cover. Any reference to cost(s) included with the technical/business proposal may result in offeror's proposal being rejected. The technical/business proposal will be evaluated prior to the cost proposal contents being reviewed.

SELECTION PROCESS SEQUENCE

PROCUREMENT ACTION	DEADLINE DATE
1. Release of RFP	October 1, 2004
2. Inquiry period begins	October 1, 2004
3. First deadline for questions (by E-mail only as prescribed in the RFP)	October 14, 2004, 12:00 noon (Central)
4. Deadline for notification of planned participation in the pre-proposal vendor teleconference (by E-mail as prescribed in the RFP)	October 14, 2004, 12:00 noon (Central)
5. Pre-proposal vendor teleconference	October 15, 2004, 2:00 p.m. (Central)

6. Second deadline for post-teleconference questions (by E-mail only)	October 19, 2004, 12:00 noon (Central)
7. Proposals due at the Secretary of State's Office; opening of technical proposals	November 4, 2004, 4:00 p.m. (Central)
8. Presentations and Demonstrations from qualified vendors	December 3, 2004
9. Vendor selection	December 6, 2004
10. Final contract with vendor and start to work order	December 17, 2004

Vendors should note that the above dates are deadlines. Depending upon the number of proposals received on the deadline date in Item 7, the procurement actions for Items 8 – 10 might proceed ahead of the scheduled deadline.

To be considered, proposals must be received **prior to November 4, 2004, 4:00 PM (Central)** at the following address:

Voter Registration System RFP
C/O Arkansas Secretary of State
Room 256
Arkansas State Capitol
Little Rock, AR 72201

Proposals shall be publicly opened and announced at that time, and become public information under the laws of the State of Arkansas.

The deadline for delivery of all system components, and for acceptance testing, is December 31, 2005.

Confidential Information

Any confidential, proprietary, copyrighted or financial material submitted by respondents may be marked as such. However, all submittals by proposers will be available for review to the extent permissible, pursuant to the Arkansas Freedom of Information Act, 25-19-100 *et seq.* Vendors are responsible for reviewing and understanding the nature of this Act. Vendors should assume at a minimum (1) that it will be public knowledge that they have submitted a proposal and (2) that their cost proposal will be public information.

SELECTION METHOD

Scoring of technical requirements in the RFP shall be according to the criteria and weight assigned. Cost proposals will be evaluated separately. Specifically, proposals will be

evaluated first on (1) the financial stability of the company, (2) the firm's ability to meet Mandatory Requirements, (3) the proposed system's general conformance to Federal and State laws, (4) the vendor's understanding of Arkansas' elections operations and needs, (5) the vendor's proposed project plan to define requirements, prepare a detailed design, customize existing software, and execute an implementation strategy for a statewide system, (5) the proposed system's ability to meet State and county functional requirements for voter registration and election management, (6) the proposed system's ability to meet technical requirements state in this RFP, (7) the proposed solution for audit and security management of the statewide system, and (8) the vendor's proven experience and qualifications in installing and supporting the proposed product. Offerors that do not meet the minimum Mandatory Requirements in the RFP will **NOT** be considered for evaluation of technical requirements or of cost proposals.

Upon the opening of proposals the sealed cost proposal packet will be placed, unopened, in secure storage. After opening the administrative documents and technical proposal packet, each proposal will be evaluated first to determine if the proposal meets or fails to meet each of the defined Mandatory Requirements listed below. If it is found that a proposal fails to meet one or more Mandatory Requirement the proposal will be eliminated from further consideration. Any such eliminated proposal will be immediately disqualified.

Proposals that fully meet each and every Mandatory Requirement will then be evaluated by the designated evaluation team. Various portions of the requirements will be assigned value. The evaluators will score each item (or group of related items).

Submission of a proposal implies vendor acceptance of the evaluation technique and vendor recognition that subjective judgments must be made by the SOS Evaluation Team during the assignment of rating points. The preferred proposal shall be defined as the proposal that, after the evaluation of both technical and cost proposals and satisfaction of all other mandatory requirements, provides the best overall solution and the best value for the State of Arkansas as determined solely by the SOS.

The project manager will examine proposals for general compliance with the terms and conditions of this solicitation and then forward responsive proposals to the Evaluation Team. The Evaluation Team will then evaluate proposals.

The evaluation of the proposal involves the point scoring of each proposal in the following areas according to pre-established criteria. A maximum of 1500 points is available for each proposal.

MANDATORY REQUIREMENTS

Offerors must meet each of the three (3) following Mandatory Requirements in order for the offeror's proposal to advance to the ensuing phases of evaluation:

- A. The offeror shall document that offeror has fully implemented a Voter Registration and Election Management System, fully compliant with the requirements of the Help America Vote Act, or has made substantial progress in implementing such statewide

system in one or more jurisdictions equivalent in population size and geographical diversity to Arkansas; and shall provide references for such achievements.

- B. The offeror's proposed system and its functional capabilities must meet all federal election laws and regulations and conform to election laws and regulations in the State of Arkansas. Vendor's proposal shall provide a detailed explanation of how compliance is achieved.
- C. The offeror must demonstrate a plan and capability for meeting the State's schedule and deadlines.

Each vendor's proposal shall contain responses to these mandatory requirements in its opening sections. This early location will allow the evaluation team to determine immediately and conclusively the ability of the firm's proposed solution to meet these requirements.

The evaluation team will use the following algorithm to score each vendor's proposal that has established it meets the minimum mandatory requirements listed above.

SCORING

	Points Possible
FINANCIAL STABILITY	100
Includes all matters related to financial and corporate stability of the offeror and any/all third parties.	
GENERAL SYSTEM CONFORMANCE	100
Includes capability of the system(s) to address HAVA requirements. Includes knowledge of and familiarity with the state's election laws and procedures; the ability to integrate with other systems; and, the significance and effectiveness of any third-party relationship(s).	
VENDOR UNDERSTANDING AND PROJECT PLANNING	350
The offeror's proposal displays a thorough technical understanding of, (1) the requirements of the Help America Vote Act and, (2) Arkansas's legal and operational requirements for voter registration and election management. Also, the offeror's proposal contains a preliminary, detailed project management plan for implementing a system that meets all of these requirements. This evaluation includes reviews of the vendor's proposed lifecycle development methodology, training plans and training personnel, quality control and quality assurance deliverables, issue and risk management, and documentation deliverables.	

**VOTER REGISTRATION AND
ELECTION MANAGEMENT SYSTEM** **350**

Includes, but is not limited to, VRS technical aspects, election management, election reporting, GIS interface, jury selection, communication and data exchange with the Arkansas Department of Motor Vehicles and the Arkansas Administrative Office of the Courts system technical aspects.

AUDIT AND SECURITY MANAGEMENT **100**

Includes the vendor's proposal for developing security and business continuity plans, capability of developing and securing transaction and audit logs, and all aspects of hardware, network, software, physical, and operational security.

EXPERIENCE AND QUALIFICATIONS **100**

Includes prior installations of VRS, especially those comparable to Arkansas, project personnel profiles, proposed training, and statement of work.

COST **400**

The maximum number of points awarded for COST will be 400. COST points will be determined by the following formula:
Maximum cost points (400) times the lowest total cost proposal divided by Offeror's total cost proposal.

TOTAL POSSIBLE POINTS **1,500**

The vendor's technical proposal shall include Transmittal Letter signed by a person authorized to bind the firm into contract and a completed Disclosure Form Governor's Executive Order 98-04.

Project Milestones

The following is a schedule of suggested project milestones. The SOS and the selected vendor will, in coordination, finalize the project plan and deliverable milestones before work begins.

Deliverable	Suggested Milestone
Signed contract plus accepted detailed project management plan	31-Dec-04
Revised, detailed functional requirements list	31-Jan-05
Detailed system design; data conversion plan; data conversion test plan; internal test and quality control plan	28-Feb-05
Completed data conversion trial and test results; completed internal test results; revised implementation schedule; acceptance of training plan; acceptance of security/BCP plan	30-Apr-05
Completion of first round of user training for testers; Successful completion of User Acceptance testing	30-May-05
Completion of first round of converted counties	30-Jun-05
Completion of second round of converted counties	31-Jul-05
Completion of third round of converted counties	31-Aug-05
Full implementation of statewide voter registration system and network	31-Dec-05
Successful use of system in first Federal Election (end of warranty period; begin first year of maintenance)	30-Jun-06

It is likely that the list of final deliverables and their scheduled deadlines will change as a result of the selected vendor's proposed preliminary Project Plan.

Resources, State's Project Team, County Personnel

The Project Team provided by the State will consist of the Project Manager and other SOS staff. The State's team will report directly to the SOS. The State's team will coordinate communications with local county officials, and vendors of local systems for conversion, NCOA vendors and other agencies of State government contributing data to the project.

Other members of the SOS's Election Division will serve in an advisory role and contribute work and time on an as-needed basis. All members of the election division will be included in training on the application. The SOS will dedicate a full time IT Support person who will be available to the project on an as needed basis to address technical tasks involving implementation in our environment.

The skill level of the users at the county level varies. Each county will identify a primary and a secondary contact for that county through which all issues will be communicated.

IT staff support is available in larger counties. Those resources will be available to assist on IT related issues.

The Vendor's Project Team shall work directly with the SOS's Team. Coordination of work and approval of all design and project direction will come from the SOS Project Team. The primary role of the SOS Project Team will be managing the SOS's interest in the project, overseeing the selected vendor's work, coordinating communication with all parties involved, and setting the application design direction, as well as managing the change in the end-user community.

A functionality committee will be set up by the SOS and will consist of county and SOS personnel. These committee members will take an active lead in defining the final elections, technical, operational, network, and systems requirements for the entire State.

GENERAL INSTRUCTIONS

Economy of Presentation

Each proposal shall be prepared simply and economically, providing straightforward, concise delineation of offeror's capabilities to satisfy the requirements of this RFP; fancy bindings, colored displays and promotional material are not required. Emphasis of each proposal shall be on completeness and clarity of content. To expedite the evaluation of proposals, it is essential that offerors follow the format and instructions contained herein.

All prospective offerors shall submit proposals that clearly and accurately address each requirement in the RFP. **Partial or incomplete responses will not be accepted.** An offeror's proposal in response to this RFP shall include the following two separate packages, each labeled accordingly:

Part 1 – Administrative Documents and Technical Proposal (only the Cost Proposal will not be included in this package.)

Part 2 – Cost Proposal

The contents of packages should conform to the following format:

- A. The original shall be manually signed in ink, by a person having the authority to bind the firm into a contract and shall include ten (10) hard copies of the proposal with the original to the address listed in the RFP. Offerors shall also provide an electronic copy on CD-ROM of the proposal in Microsoft Word format.
- B. Only a hard copy received in the SOS's office before the receipt deadline will be accepted for evaluation;

- C. All offerors should be aware that providing the most detailed, clear, and accurate response possible to each requirement specified in the RFP would be helpful to the evaluation team in assessing capabilities;
- D. All offerors shall be aware that failure to provide a full, clear response to each and every one of the requirements listed in the RFP may result in the proposal being eliminated from all further consideration;
- E. All offerors shall be aware that the SOS's failure to include a system requirement, that is essential to the successful operation of the system proposed, in the RFP does not alleviate the vendor's responsibility to provide both specifications and cost(s) for the additional system requirement(s);
- F. The SOS shall not be liable for any costs incurred by the offeror in association with preparing this proposal;

Section I

Company Overview

- A. Each offeror shall provide a concise history of the company's role in the elections industry: including start date, type of products offered, product evolution, and installation of election systems in other jurisdictions;
- B. Each offeror shall provide a statement listing the company's annual revenue for the past 3 years, as well as revenue statements for any subcontractor involved in the project proposal. Annual reports and audited financial statements for the past three years of all involved parties shall also be submitted;
- C. Each offeror shall provide a list of at least 3 references, including current customers who can testify to the success of the company's products and services. At least one of the references shall currently be using the same software and systems proposed to the State of Arkansas, either in actual operation or pilot production as a statewide voter registration and EMS system. For each reference the vendor shall provide the name of the organization serving as a reference, the physical address of the organization, the name of the key contact person in the organization, the key contact's telephone number, and the key contact's E-mail address. The vendors shall provide the names of all state and local government customers to whom they have delivered and supported voter registration and election management systems and software within the past two years (twenty-four months). The SOS shall retain in his sole discretion the right to contact or to not contact any or all of the references and customers listed by the vendors in order to obtain information on the vendor's performance and capabilities;
- D. Each offeror shall describe the exact nature of any third party relationships either anticipated or currently employed to execute the project described in the proposal. The description includes, but is not limited to, the company name, nature of work provided, years of experience in the elections industry, and years of experience with your company;

- E. Each offeror shall, in addition to product evolution, specify anticipated upgrades or any plans to transition away from the current hardware, network, database management system, and software architecture.

Section II

Major Business and Systems Functions Required

Each vendor's proposal shall provide detailed information on how the proposed solution shall meet or exceed each one the following major (and sub-headed minor) business functions of a statewide voter registration system and election management system for Arkansas. In presenting this information, it will be in each vendor's best interest to provide as much detailed information on each major functional area and sub-area as necessary to document the full technical capabilities of the proposed system. If the vendor's system provides major functionality beyond the areas listed, the vendor should provide detailed specifications about those capabilities. The vendor should assume that no live demonstration will be required to determine the full capability of the system to meet both the broad and detailed requirements listed below.

- A. Voter record administration, including (but not necessarily limited to):
1. ability to generate and maintain a unique voter identifier for each registered voter in Arkansas
 2. ability to assist in tracking whether a voter has provided adequate identification information, the type of information provided, and the need to provide identification at the polling place
 3. ability to support rapid data entry from Arkansas's voter registration documents
 4. ability to provide accurate data validation at the time of data entry
 5. ability for authorized users to edit and modify data as necessary
 6. ability for authorized users to modify data accurately and efficiently
 7. use of default and "retained" values to speed data entry
 8. use of "type-ahead" features to speed data entry
 9. ability to place a voter's application in a "pending" status if additional information is required and to generate a correspondence letter to the applicants informing them of the required information
 10. ability to move a voter's application from pending to active status or to reject the application after completing research on the cause of the pending status
 11. ability to complete registration of a voter's application and to make them an active voter without going through the document scanning and signature "clipping" process
 12. adherence to NVRA list management procedures
 13. ability and procedures to move a registered voter's record in one Arkansas county to another Arkansas county in adherence with HAVA, NVRA, and Arkansas Election Law requirements
 14. ability to automatically generate correspondence to other states that one of their voters has moved to Arkansas and registered to vote here
 15. ability to generate and print voter identification cards, with the content and format required by Arkansas's counties
 16. voter registration record storage, archiving and deletion.

- B. Reporting capabilities, including (but not necessarily limited to):
 - 1. provision and customization of a library of general reports with the vendor's system, including the name and brief description of each library report
 - 2. preparation of up to 150 additional custom reports as specified by the SOS's Office
 - 3. ability to print mailing labels on mailing label sheets
 - 4. ability to print mailing labels on specialized label printers
 - 5. the capability to suppress specific confidential data fields and entire confidential data records from reports
 - 6. NVRA statistical reports
 - 7. an ad hoc report creation and printing capability using both vendor supplied software and third-party report preparation software such as Microsoft Access or Crystal Reports
 - 8. ability to define, retain, and re-generate commonly needed reports
 - 9. ability to schedule reports administratively to print at a specific date or time without further user intervention (such as scheduling a nightly or weekly proofing report)
- C. Data extract and file export capabilities, including (but not necessarily limited to):
 - 1. selection of fields and records from the database for inclusion in an exported file
 - 2. ability to create exported files in ASCII comma-delimited, tab-delimited, or fixed-width fields
 - 3. the capability to suppress specific confidential data fields and entire confidential data records from exported files
 - 4. ability to define, retain, and re-generate commonly needed export files
- D. Search and Query functions, including (but not necessarily limited to)
 - 1. search abilities on names, addresses, and dates in voter registration records
 - 2. abilities to use "wildcard" or partial value entries (such as "will" as part of a last name that will retrieve all records with a last name that begins with those characters)
 - 3. the capability to suppress confidential data fields and entire confidential data records from displays for users who are not authorized to see confidential data
 - 4. ability to define, retain, and re-execute commonly used queries quickly and conveniently
 - 5. ability to generate outline queries, files, and reports containing registered voter counts statewide, by district, precinct, and precinct portions (splits)
- E. Absentee Voter Management, including (but not necessarily limited to)
 - 1. ability to track requests for absentee ballots, replacement ballots, and returned ballots
 - 2. ability to distinguish among different "types" of absentee voters or reasons for absentee voting
 - 3. ability to assist the election worker in determining the correct ballot type for issuance to an absentee voter

4. ability to track absentee ballots to notify election officials if a person who has requested an absentee ballot or returned an absentee ballot attempts to vote at an early voting site or on Election Day
 5. ability to provide absentee voting ballot management statistics on demand and on printed reports
 6. ability to print bar codes on absentee voter documents to assist in rapid processing of returned ballot documents.
 7. ability to scan bar codes printed on returned ballot documents
 8. Ability to manage seasonal and recurring absentee applications
- F. Petition Verification and Management, including (but not necessarily limited to)
1. ability to define a petition and associate it with a specific election
 2. ability to have tight integration with the voter registration module in order to avoid re-entry of data
 3. ability to establish petition signature requirements in the system as specified by Arkansas law and monitor the number of valid and rejected signatures
 4. ability to search for a registered voter's name and retrieve the associated digitized signature quickly for comparison with the petition signature
 5. ability to note that a voter has already been counted as having signed a petition and prevent tallying that person as having signed a petition more than once
 6. ability to manage multiple petitions per county per election cycle
 7. ability for more than one authorized user to verify signatures on a petition at any given time
 8. ability to "lock down" a petition verification dataset to prevent additional changes after the "close of books" on a petition.
- G. Capability for Address/Street library management (including, but not limited to)
1. ability to define an address library for each of Arkansas' counties that can be modified only by authorized users in each county
 2. ability to have tight integration with the voter registration module
 3. ability of all authorized users to view the address libraries in Arkansas's counties
 4. ability to check each registered voter's residential address against the county street file
 5. ability to enter non-standard, rural residential addresses for a voter if the address is not in the address library
 6. ability of the address library to notify election administrators in Arkansas's counties of both touching streets and overlapping streets in their respective street libraries
 7. manage effectively the addition, modification, and deletion of streets and street ranges in the address/street library
- H. Precinct, Voting District Maintenance, Polling Place Management.
1. ability to have tight integration with the voter registration module and the address library module to avoid requirements for data entry time
 2. ability to define and name all the precincts in all the counties using alphanumeric precinct names and not requiring the counties in Arkansas to rename their existing precincts

3. ability to automatically assign voters to the correct precinct if the given address can be verified by the street library
 4. ability to manually assign persons with non-standard addresses to precincts
 5. ability to assign precincts to multiple districts throughout a county
 6. ability to move groups of voters accurately from one district to another in re-precincting and redistricting efforts
- I. Election Administration, Print poll books, Record voting history
1. ability to have tight integration with the voter registration and other modules provided as part of the vendor's solution
 2. ability to define an election in the system and identify major elements of the election, such as offices, candidates, ballot issues, and date deadlines associated with an election (such as the beginning of absentee and early voting)
 3. ballot types for accurate distribution to early voters, mail voters, absentee voters, and voters at polling places
 4. ability to print poll books directly on laser printers in the election office or generate poll book files for use by commercial printers
 5. ability to assist election workers in determining correct ballot styles for voters, both at early voting sites in in polling places on Election Day
 6. ability to print bar codes on poll book entries that will be useful for scanning in voting history
 7. ability to record voting history accurately from at least (a) absentee voting files, (b) manual entry by data entry clerks, and (c) bar code scans from poll books.
- J. Election worker management (including but not necessarily limited to)
1. ability to identify a person listed as a registered voter as (a) a potential election worker, either generally or in a specific precinct or in a specific precinct and polling place or (b) as an actual election worker, either generally or in a specific precinct and polling place
 2. ability to identify a person who is not a registered voter to be an election worker
 3. ability to set up training classes for election workers
 4. ability to track training classes attended by election workers
 5. ability to generate payroll data for election workers
- K. Polling place management (including but not limited to)
1. ability to define and establish multiple polling places in a single precinct
 2. ability to track key polling place contact information
 3. ability to track physical accessibility requirements for and capabilities of all polling places
 4. ability to track poll workers assigned to specific polling places
 5. ability to attach scanned maps (in either .PDF or .TIF format) to the precinct and polling place data to assist election workers in using those maps to give directions to polling places
- L. Statewide duplicate record identification (including but not limited to)

1. ability to check both county files and the statewide file at the time of data entry to determine if the applicant is already registered to voter in Arkansas
 2. ability to prevent automatically the same person from being registered more than once in the State of Arkansas
 3. ability for the SOS's Office to run an automatically scheduled statewide check for potential duplications of registration in the State of Arkansas (Please attach sample copies of reports that result from this operation.)
 4. ability for the SOS's Office to execute on demand a statewide check for potential duplications of registration in the State of Arkansas (Please attach sample copies of reports that result from this operation.)
- M. Provisional voting (including but not limited to)
1. ability to assist the provisional voting process in accordance with the Help America Voter Act of 2002
 2. ability to assist in managing the provisional voting process in both early voting and Election Day polling places
 3. ability to assist in researching provisional voting situations after they have occurred
 4. ability for authorized users only to note and display in a voter's record (a) whether they cast a provisional ballot, (b) whether the provisional ballot was counted, and (c) reasons it was not counted if that was the case
- N. Online services for registration status and poll location inquiry
1. ability to provide "public access" data on registration status and poll location data on viewing terminals in election offices
 2. ability to generate output files containing "public access" data on registration status and poll location for export to other devices that might display the information publicly
- O. Document image and digitized signature management (including but not limited to)
1. ability to scan documents of varying sizes and "attach" or "link" them accurately to voter records
 2. ability to "clip" signatures from documents and "attach" or "link" them accurately to voter records
- P. Interface with agencies as required by HAVA (including but not limited to)
1. ability to establish and use an interactive data communications link with the DMV for purposes of identity verification as specified in HAVA
 2. ability to establish and use an interactive data communications link with the Social Security Administration (most probably through the DMV) for purposes of identity verification as specified in HAVA
 3. ability to (1) establish and use an interactive data communication link with other State agencies and (2) receive data files generate by other State agencies for purposes of determine registered voters whose names should be removed from the voter registration list pursuant to the requirements of NVRA, HAVA, and Arkansas election laws.
- Q. Periodic data exchange with an NCOA (National Change of Address) vendor

1. ability to generate output for use by NCOA authorized vendors
 2. ability to receive files generated by NCOA authorized vendors
- R. Security management capabilities (including but not limited to)
1. ability of the system to established role-based security authorizations at the application level, requiring identification of each user in order to establish authorization to have access to various system modules and to various functions (such as add, modify, delete, view, and print) within those modules
 2. ability to require a password to access the application beyond the password required for access to the computer system
 3. ability of the transaction audit logs to record values of data elements prior to being changed by an operator, including which operator made the change and when the operator made the change
 4. ability to restrict transaction and audit log to only system administrators
 5. use of encryption in data communication and data storage
 6. ability to manage audit logs, including moving an audit log to an archival location and reinitializing the audit log to start collecting data in a new “empty” log file.
- S. Geographic Information System interface (including, but not limited to)
1. ability to export files from the voter registration modules and the address library modules in formats that can be accepted and used by the most prevalent GIS systems for use in preparing maps of precincts, districts, and counties
 2. ability to import files from the most prevalent GIS systems
 3. ability to directly and dynamically exchange data with GIS systems (and optional, but desired feature)
- T. Candidate filing management (including but not limited to)
1. ability in election set-up to define candidates for offices and verify that the candidates live in the districts for which they are filing (if that type of residency is a requirement)
- U. Capability to manage all-mail balloting (including but not limited to)
1. ability to assist in setting up all-mail elections for both countywide, citywide, districts, and specific precinct elections
 2. ability to track mailing dates and return dates of ballots for all voters involved in an election
 3. ability to track replacement ballots issued in an all-mail election
 4. ability to generate statistics on ballot mailings and ballot return rates daily during an election cycle
 5. ability to print mailing labels and mailing label files—including bar code information—for use in all-mail elections
 6. ability to identify correctly the ballots that will go to all voters in an all-mail election
 7. ability to allow rapid, accurate bar code scanning from return envelopes in all-mail elections

Section III

Each vendor's proposal shall provide detailed information on how the proposed solution shall meet or exceed each one of the following technical and functional requirements for a statewide voter registration system and election management system for Arkansas.

Project Management

With the vendor's proposal, the vendor shall provide a preliminary Project Plan guiding the project from beginning to conclusion. Each hardcopy of the vendor's proposal shall contain a printed version of the Project Plan produced from Microsoft Project. Each vendor shall submit with their hardcopy proposal the Microsoft Project file (.MPP) of the Project Plan schedule. The .MPP file submitted must be readable by Microsoft Project 2003. The preliminary Project Plan shall define the roles and responsibilities of all members of the project team. The Project Plan preliminary schedule (.MPP) shall contain begin and end dates for all proposed project tasks, an assignment of personnel resources to each task, and the number of proposed professional and technical hours the vendor shall commit to each task. The vendor's proposal shall provide rules of engagement on how the project team will work together; communicate progress, and where reporting and areas of authority are assigned. The vendor shall provide for adequate monitoring and reporting to the appropriate managers of the SOS's Office.

The selected vendor shall conduct formalized project management to achieve the objectives of the project on time and within budget. The SOS expects the vendor's Project Manager will be a key resource in the project, and that the Project Manager will spend a substantial amount of time on-site in the State Capitol, or other areas of the State for meetings and internalization of technical details. The vendor's proposal shall state the name of the proposed Project Manager and include the résumé of this person in the proposal. The vendor's proposal shall contain résumés of all proposed project professional and technical resources for the implementation of Arkansas' statewide voter registration system. The SOS reserves the right to review and approve all candidates and incumbents of major positions on the vendor's project team. The SOS will approve or disapprove any proposed changes to the project management. The vendor shall present only personnel who are available to the project and who will take an active role in the project.

The preliminary Project Plan provided in the vendor's proposal shall discuss and provide a means to monitor the scope and completion of actions and tasks toward achievement of the overall project goals. The preliminary project plan shall include a brief risk assessment of the factors that may challenge the overall success of the project and a discussion of steps recommended by the vendor to mitigate these risk factors. The vendor's proposal shall provide a definition of how project tracking and reporting will be conducted, and how change management will be monitored as well as forecasting and monitoring risks to the project success.

The SOS may choose to employ an independent quality assurance monitor to monitor the progress and management of the project. The vendor in their proposal shall state an agreement to this potential step and state an agreement to cooperate with such quality assurance monitoring.

The vendor's Project Manager shall provide a written formal report to the SOS on a weekly basis on the status of the project. The format and content of the report should be succinct such that it can be a useful administrative tool. The status report shall include (but not limited to):

- ❑ Summary of accomplishments since the last reporting period
- ❑ Summary of past, current and future issues (including steps to mitigate actual or potential problems and an updated risk analysis)
- ❑ Update of critical project completion dates

Vendors shall submit sample project status report with their proposals.

Conversion of Data to the Central System

The selected vendor shall be responsible for converting data from each of the 75 different counties (86 distinct locations) into the single central system. The vendor's responsibilities shall include, at a minimum:

- ❑ The vendor shall be responsible for extracting the data from the local system, and shall be responsible to analyze and evaluate the content of the text file provided for conversion. The vendor shall evaluate the integrity of the data received for conversion, and perform "data scrubbing" to make the data conform to the vendor's system. Vendor's proposals shall include a description of their planned steps to meet this requirement and shall include those steps in their preliminary project plans (.MPP) accompanying this proposal.
- ❑ The vendor shall fully research each of the systems to be converted and document a plan of conversion for each type of system. Vendor's proposals shall include a description of their planned steps to meet this requirement and shall include those steps in their preliminary project plans (.MPP) accompanying this proposal.
- ❑ The vendor shall be responsible for drafting a proposed schedule of conversion events in coordination with the SOS and county officials, and on approval by the SOS and county officials, for finalizing the schedule of conversion events. A staggered schedule is expected, converting a handful of counties in phases until all counties are converted. Scheduling conversions must be coordinated with regional user training. Vendor's proposals shall include a description of their planned steps to meet this requirement and shall include those steps in their preliminary project plans (.MPP) accompanying this proposal.

The vendor shall use the conversion data from existing county system, and convert these files to online voter records. The scope of the conversion shall include any data that can be usefully provided by the county by electronic means. This shall include, (but not limited to):

- ❑ As much of the complete voter record as can be provided from the local source system
- ❑ Voting history
- ❑ Larger counties have change history and detailed voter activity transaction logs (such as name changes, address changes, and party registration changes, which retain the previous value when a record change occurs. The change detail provided in these logs shall be converted to the new system and shall be made available for online viewing by authorized users

- ❑ Larger counties have street file definitions that should be converted to the addressing-street file reference tables of the vendors system, eliminating the need for the local county to re-enter this information into the new system.
- ❑ Seasonal and recurring absentee application information that must be converted to the new system.
- ❑ If the local source system can provide, in a consistent manner, data showing that the voter signed a specific petition, this data shall be converted and recorded in the new system.
- ❑ If the local source system can provide, in a consistent manner, previous names, previous addresses, then this data shall be converted and recorded in the new system.
- ❑ Any marker indicating that the voter record is confidential must be carried over in the conversion.

Vendor's proposals shall include a description of their planned steps to meet this requirement and shall include those steps in their preliminary project plans (.MPP) accompanying this proposal.

The conversion shall carry over the local county system's original voter number in a separate field for historical reference. A user from any county, viewing a voter record, must be able to discern what data came over from the old system prior to conversion and what data has been generated by the new system since conversion. Vendor's proposals shall include a description of their planned steps to meet this requirement.

The vendor is responsible for initial testing of the converted data through the application interface to insure that the right data is transferred to the appropriately corresponding fields and that the interface operates with the data as converted; that all required fields are fulfilled, and the program logic does not fail on unexpected data. The vendor shall release a conversion to the SOS and the county for conversion acceptance testing only after they have successfully demonstrated the data through the interface. Vendor's proposals shall include a description of their planned steps to meet this requirement and shall include those steps in their preliminary project plans (.MPP) accompanying this proposal.

The conversion function shall have error detection and exception reporting to identify records that cannot be converted and the reason for rejection. Through multiple trial conversions with each data source, the vendor shall provide a report of any problems to be resolved in preparation for final conversion. Data cleanup of orphaned or corrupt records will be the responsibility of the local source county. With each trial conversion, the vendor shall log problems to be corrected, and the entity responsible for correcting the problem. The SOS will enforce corrections that are the responsibility of the source county, so that conversion schedules are not impacted. Vendor's proposals shall include a description of their planned steps to meet this requirement.

The vendor shall be responsible for building "data scrubbing" into the conversion routines to make the data received conform to the vendor's system. The county will be responsible for enforcing data integrity into the export file presented for conversion. Vendor's proposals shall include a description of their planned steps to meet this requirement.

Where a signature image or registration document image is provided, the conversion process shall accurately attach the registration document image and the signature to a correct record converted, based on linking logic performed by the program. Vendor's proposals shall include a description of their planned steps to meet this requirement.

The selected system vendor shall be responsible for converting imaging files from the counties that currently retain images in electronic format (listed below). Vendor's proposals shall include a description of their planned steps to meet this requirement.

The SOS will contract separately with local vendors that support these systems to provide the images in a portable format for conversion, (.tif files, etc). The vendor shall evaluate the integrity of the images received for conversion, and perform "data scrubbing" to make the image files and indexing data conform to the vendor's system. Vendor's proposals shall include a description of their planned steps to meet this requirement.

The vendor will NOT be responsible for the back-file conversion effort to scan the voter registration cards that are on paper or card stock, from card to image. Counties that currently have the signature only imaged may elect to rescan all of their registration cards in order to capture the full registration image. The SOS believes there is a minimum of back-file conversion that will be necessary. The SOS, working in conjunction with the counties will determine the best approach to dealing with back-file conversion issues.

The system vendor shall be responsible for importing the document data and the document image into their system and accessing the converted images through all applications and application modules in the same manner as images that are scanned directly into the vendor's system. The vendor shall use the indexing data and image files from existing county images, and convert these files to system images, and signatures. Vendor's proposals shall include a description of their planned steps to meet this requirement.

The vendor shall work with the SOS and the source county to define the format in which image and indexing files will be extracted from existing local systems. Vendor's proposals shall include a description of their planned steps to meet this requirement.

The vendor shall be responsible for initial testing of the converted images through the application interface to insure that the interface operates with the images as converted. The vendor shall release a conversion to the SOS and the county, along with documentation of the processes and results of their internal conversion testing, for image conversion acceptance testing only after they have successfully performed this test internally. Vendor's proposals shall include a description of their planned steps to meet this internal testing and documentation requirement.

The vendor shall be responsible for building "data scrubbing" into the conversion routines to make the image files and indexing data received conform to the vendor's system. The county will be responsible for enforcing data integrity into the export file presented for conversion. In general, the export images will be presented as .tif files, and the image indexing data as delimited ASCII files. In some cases, the .tif file name is the indexing value of the image. Vendor's proposals shall include a description of their planned steps to meet this requirement and shall include those steps in their preliminary project plans (.MPP) accompanying this proposal.

The vendor shall provide a function to be used by the county official or their staff to scan existing voter registration records and attach the image to an existing online voter data record. The function provided must allow the user to section out the image of the signature of the voter and store this image section separately with the voter data record. . Vendor's proposals shall include a description of their planned steps to meet this internal testing and documentation requirement.

In the proposal response, the vendor shall describe the full life cycle of the structured development methodology for software development, software customization, and quality control of deliverable content, from the point of start of work to the completed solution. The process shall be described in a manner understandable to Election Administration professionals. The vendor shall present, not just the theoretical process, but the real process that election administrators can expect they will follow. The SOS will support the development methodology that is familiar to the vendor, as long as it is reasonable, sound, can be followed and produces the desired solution. However, the SOS reserves the right to request a change in process, where it is deemed necessary.

The vendor shall provide a methodology and procedure for version control of the different releases of software. Technical and structural changes in the system shall be coordinated and communicated with the SOS. Functional changes delivered with each version update shall be clearly communicated with all users prior to release of the version. The vendor's proposal shall include a discussion and description of (1) the processes the vendor shall use in testing each new release of the software to assure that it does not contain errors in previously well functioning modules and (2) the quality control and internal test documentation the vendor proposes to deliver prior to providing a new release of the software to the State of Arkansas and its counties.

The vendor shall compose, maintain and upgrade the system application code, operating system, and database management system utilizing the most recent security enhancements and application coding advances. The SOS reserves the right to employ a third party to conduct an application code audit. The vendor shall be responsible for responding to any faults detected in the audit. The vendors in their proposals shall state an agreement to this potential step and state an agreement to cooperate with such an application code audit.

Testing

As part of the conclusion of software development and in preparation for delivery of each component, the vendor shall carry out initial testing, unit testing and system integration testing of all components delivered. Each component delivered for the State's testing, shall be substantially free of errors. The vendors in their proposals shall state an agreement to provide accurate monthly reports to the SOS of known software errors for the SOS to review.

The vendors shall agree to set up a test environment at the SOS's office for SOS personnel to be able to test all functions and features without actually impacting real data. The vendors in their proposals shall describe the nature of the test environment and describe in detail the nature and configuration of the hardware and software, including required licenses, to establish the test environment.

The SOS will establish user acceptance test(s) to be conducted jointly by the SOS and the vendor's project team to demonstrate completion of deliverables. The system must demonstrate that each functional component of the solution is performing as intended before acceptance will be issued. The SOS intends to use this Request for Proposal contract as a guide map to the checklist of deliverables for acceptance testing as well as the documented requirements. The vendors in their proposals shall agree to this user acceptance test process and explain the nature of their proposed assistance to the SOS in carrying out the tests.

Training and On-site Assistance

The vendors in their proposals shall provide an outline of their training plan and include the proposed staff and resource commitments for all training tasks in the preliminary project management plan (.MPP). The vendor shall be responsible for preparing and carrying out a detailed training plan during the implementation of the statewide voter registration system. The vendor shall be responsible for delivery of ALL of the training to the end users and to the SOS's staff. Training must be scheduled in coordination with the installation and conversion activities for each county.

The vendors shall describe in their proposals' preliminary training plan the specific steps they will take to train SOS personnel as application references for practical use of the software to support election laws.

The vendor shall describe in their proposals' preliminary training plan the steps they propose to take to provide system administrator level training to up to five individuals in the SOS's administration, to allow them a full breadth of knowledge in how the system is maintained and how the application can be manipulated to meet changes in the business process.

The vendor shall describe in their proposals the steps they propose to take to deliver ALL training documentation, user documentation and technical-system administrator documentation.

The vendors' preliminary training plans in their proposals shall indicate the timing for all training, reflecting a coordination between conversion and training must insure that the users receive their last round of training no more than 2 weeks before they are converted and cut-over occurs. Before the last round of training can occur, the application and equipment must be fully installed (in multiple locations if required) and ready to use in the county environment, and the users must have access to a live practice/test system using test conversion data for their county. Conversion and cleanup issues for that county must be worked out by this time so that they can perform data conversion acceptance. Installation, training and conversion of counties must be staggered throughout the year 2005.

As part of annual maintenance, the vendors' proposals shall agree to provide 100 hours of delivered training to be used at the discretion of the State Elections Division. The SOS intends to have this training delivered periodically throughout the year. Estimated travel costs for this training must be submitted in advance of the planned event and approved by the SOS. The SOS will pay actual travel costs for airfare, room and board, and mileage at the State's mileage rate.

Application Documentation

The SOS believes that quality application documentation is critical to the short-term and long-term success of the statewide voter registration system.

The vendors' proposals shall describe in detail the user, system, and technical documentation they propose to provide during the implementation, maintenance, and support of the statewide voter registration system. The documentation, both online and in hardcopy, shall be updated whenever any application module is updated and whenever any new software release occurs. A documentation version control system shall be proposed so users can easily see if their hardcopy or online documentation is current.

For all training sessions the vendors shall contain in their proposals the steps and costs to provide each trainee with a hard copy training guide. If the training guide is also delivered online, the vendor shall provide the user with a hard copy set of instructions on how to log onto the system and get to the training manual and other resources. The county will have the option of buying additional printed copies of the training manual from the vendor.

For all applications provided, the vendor shall propose to provide an indexed , searchable online user manual that is available to all users. This manual shall cover any applications software custom developed by the vendor. Third- party applications included in the vendor's solution, but not developed by the vendor, shall be delivered with the complete documentation for users normally delivered with that product purchase. User documentation may be distributed electronically online or on CD. The vendor shall provide the user with a hard copy set of directions on how to get to the electronic user manuals. The county will have the option of buying additional printed copies of the user's manual from the vendor.

For all applications provided, the vendor shall propose to provide a complete set of technical administrator documentation that shall be provided in an indexed, searchable electronic format. The documentation shall cover the technical aspects of setup and support for all components of the voter application developed by the vendor. Third party applications included in the vendor's solution, but not developed by the vendor shall be delivered with complete technical documentation normally delivered with an isolated purchase of that product. The vendor shall provide the SOS a hard copy set of directions on how to get to the electronic technical manuals. The SOS will have the option of buying additional printed copies of the user's manual from the vendor.

The vendor shall provide each county clerk's election office, and each member of the SOS's Project Team with a hard copy set of instructions on how to call the help desk for support, how to record a problem in the online tracking database and how to use all the support resources available.

For all system software, the vendor shall supply all of the standard documentation that is provided with purchase of the system software.

The vendors' proposals shall include in the preliminary Project Plan a description of the steps they propose to take to refine the business requirements for the statewide voter registration system and present that requirement list for acceptance to the SOS.

The vendors' proposals shall include in the preliminary Project Plan a description of the steps they propose to take to prepare a detailed technical design specifications for the statewide voter registration system and present that technical design for acceptance to the SOS. Only after the SOS receives and accepts the technical design specifications shall the vendor proceed with software customization and development.

Site Preparation

The vendor's preliminary project management plans shall reflect the vendor's steps to determine detailed requirements to prepare county and State sites to receive and install the equipment and cabling necessary for implementation of the statewide voter registration system. All preparation for equipment and cabling on-site at the State must be coordinated with the SOS and will be performed by the Arkansas Department of Information Systems.

If the vendor requires any environmental preparation of county election offices, it should be defined in the vendor's proposal. The cost of this environmental site preparation should be listed as a separate line item in the vendor's cost proposal.

Equipment Installation

All network cabling and communication devices, such as routers, hubs, gateways, bridges and switches, will be supplied by the Arkansas Department of Information Systems. The preliminary Project Plans in the vendors' proposals shall describe the tasks they propose to undertake to work with the State in creating a solution model for optimum, responsive communications utilizing minimum bandwidth.

The vendor must propose installation strategies for any additional equipment and software to be installed at the county and State offices.

Technical Requirements

The Technical Approach section of the vendor's proposal shall respond specifically and individually to each requirement stated in this RFP section.

The vendor shall provide complete equipment specifications for all equipment necessary to successfully complete the proposed solution. The vendor shall supply individual estimated, realistic price quotes and proposed equipment for all network servers, storage devices, network appliances, client workstations, paper scanners, barcode readers and barcode scanners that will be needed for a full implementation of the statewide voter registration system. For all technical components proposed, the vendor shall describe the components specifications and distinguishing features in terms of performance speeds and capacities.

The vendors' proposals shall include a detail, proposed network configuration diagram for the statewide voter registration system in Arkansas.

The vendor shall provide in their preliminary Project Plans detailed steps and schedules for installing, configuring and managing the statewide voter registration system's hardware, network, and software.

System Uptime

Very high system availability is a very high priority for the operation of the statewide voter registration systems.

The proposed system shall be fully functional with all components operating 99.0 percent of the scheduled production hours of 7 am to 7 p.m. Central time, Monday through Friday. Faults in availability attributed to the State or county and State equipment outside of the vendor's control will not be included in this calculation. Vendor's proposal shall describe the technical characteristics of their proposed hardware, software, and network configuration that will assure this level of availability. Recovering from a disaster not caused to equipment failure will not be included in the uptime calculation.

The vendor's proposal shall describe processes and steps they will take to assure that during peak system usage, one month in advance of and one month following an Election, all downtime during the normal business day will be avoided.

Relational Database

The backend database for the Arkansas statewide voter registration system must be a standard commercially available relational database. Vendors' proposal shall specify all database management systems required to run their proposed software solution, including the database management system's manufacturer, the system's name, version, and release numbers of the proposed relational database management package(s).

Vendors in their proposals shall describe the steps they will take to normalize and tune their databases at the time of installation, during the warranty period, and during the period during which the system is under a maintenance and support contract. Vendors' preliminary Project Plans shall reflect the tasks that the vendor will undertake to carry out normalization and database tuning as well as the staff resources (expressed in personnel hours) dedicated to these tasks.

Application Response Time Requirements

The vendor shall prepare a stress test and response time test plan, reflecting (1) the plan as a deliverable in the proposal, (2) the tasks on the preliminary Project Plan (.MPP), and (3) the detailed results of the tests as documentation deliverables. The vendor shall complete the tests and deliver the test results before rollout to the counties, and prior to final acceptance. It may be performed as a benchmark at anytime in the project. The vendor's proposal shall address the design features of the proposed configuration that will ensure the required response times will be achieved.

Response time testing will performed at the SOS's office, on the SOS's LAN where the fastest network connection is proposed, and it will be performed using a client workstation fully configured by the vendor, (not one of the SOS's existing workstations). As a separate benchmark, response time testing will be performed at various county offices including those with a 56K connection to the SOS's WAN.

Response time testing must be demonstrated with a load with the current number of users and a test statewide record set of 2.0 million complete voter registration records, including scanned voter registration documents and digitized signatures.

Vendor's proposals shall propose a hardware, network, and software configuration that shall deliver the response times in the following sections. In all the tests, time will be measured from the point of submitting the last command entry to start a process, to when the system returns the result set to display on the screen, and returns the keyboard to use by the application with the system ready to respond to a new command.

Record Search: Search on the value only with no other criteria across all counties; time to return display of search results, with a result set of 400 records.

- ☐ Lastname only: four (3) seconds.
- ☐ Soundex of lastname/Phonetic value of lastname only: five (3) seconds
- ☐ Voter identification number only: four (3) seconds
- ☐ Drivers license number only: four (3) seconds
- ☐ Full Record Retrieval: Time to display the full record selected from the search results list: four (2) seconds.

- ❑ Record commit: Time to complete the addition of a new voter record (including scanned document and digitized signature), and modification to an existing voter record (including any scanned documents), with parent record and all child records stored: five (4) seconds.
- ❑ Image retrieval: Time to bring an image of a registration to the screen: four (3) seconds.
- ❑ Format of a print: Time to submit a ten (10) page document to the print queue, (document selected by the SOS): five (5) seconds.
- ❑ Petition Verification: Time to perform a search on name and address, or name and birth date to return of the screen display of search results, including a digitized signature: four (3) seconds.

In submitting a proposal, vendors agree that any system provided to the State of Arkansas pursuant to this RFP and any subsequent contract shall meet or exceed these response times.

Server(s) and Server Operating System

The vendor's proposal shall provide specifications for all server hardware necessary to support an Arkansas statewide voter registration system that will achieve the functional requirements. The proposals shall include discussion of the function of each proposed server.

The vendor's proposal shall specify an operating system environment for the Arkansas statewide voter registration system's server configuration. The preferred operating system environment should utilize Microsoft Windows 2003 Server (Web, Standard and/or Enterprise Editions). Other platforms that serve the requirements may be proposed and will be considered by the SOS. All servers must run in the same operating environment.

Vendors may propose an outsourced data center for the statewide system. Describe in detail how your ideal proposed system would be hosted. Do you have a relationship with a 3rd party data center vendor for hosting or in your view would the Arkansas Department of Information Services host the system? All vendors are encouraged to submit detailed proposals on how their system should operate within either or both environments.

The vendor's proposal shall specifically address each one of the following issues:

- ❑ Describe the strengths of your proposed Voter Registration System's server environment and options the Secretary might consider to contain the cost of the system's support and maintenance.
- ❑ Discuss if you have implemented or are implementing the proposed server environment in a state model or in a county jurisdictional model? Please provide the location of installation and contact information.
- ❑ Discuss how your proposed system configuration deals with the concepts of fail over, clustering and redundancy in one site or in two sites if your proposed network configuration includes two sites?
- ❑ Describe in detail how your proposed system configuration provides load balancing between all server components. .

Storage

Vendors' proposals shall describe in detail their proposed server storage configuration (either as a Storage Area Network [SAN] or Network Attached Storage [NAS]) and use of RAID storage devices (including RAID levels and number of hot swap drives). Vendors' proposals shall provide. Vendors' proposals shall provide technical and performance specifications for all recommended storage devices.

Vendors' proposals shall describe in detail the configuration, capacity, and performance specifications of any workstation storage devices required or recommended for use in the counties and the SOS's Office.

Backup

The ability to develop and carry out a reliable, comprehensive, and secure backup strategy is of paramount importance to the administration of Arkansas's statewide voter registration system.

The vendor shall supply a reliable, comprehensive, and secure backup strategy for all information within the system. The strategy shall include the ability to schedule a full, live backup of the database each night within a 10 hour period. backup process each night. The SOS welcomes innovative and different backup configuration recommendations other than the plan presented herein, as long as it provides the same support for error and disaster recovery

The vendor shall recommend backup software for the configuration and provide cost estimates for the licenses to use the software as necessary for the statewide voter registration system.

The vendor in its proposal shall include development of a Business Continuity Plan (BCP) for the Arkansas statewide voter registration system. The preliminary Project Plan in the vendor's proposal shall include development of this plan as a deliverable and the proposed project schedule (in the .MPP) shall reflect the tasks (and resource hours) necessary to develop the plan. The BCP shall include at a minimum (a) a disaster recovery plan for the server center and the network and (b) an disaster recovery planning process for the counties.

Workstations

Vendors shall include in their proposals technical specifications for workstations that must be configured for use by the counties and the State in conjunction with the statewide voter registration system. The vendors shall provide an estimated price of the fully configured workstations that must be used to operate all modules of the statewide voter registration system with optimum effectiveness. The workstations shall allow multiple programs to be run by an operator simultaneously and concurrently with the statewide voter registration system application, in multiple windows without suspending any window or session. Anti-virus is required in accordance with the State and interagency agreements. The virus software must automatically maintain the latest updates.

If possible, the SOS prefers for the vendor's solution to use existing workstations in the SOS and County offices. Vendors' proposals shall contain a description of the procedures and steps they will take to determine if the existing workstations in each of Arkansas' counties and the SOS's Office can be used with the proposal network and software solution. Vendor's proposals shall contain a description of the procedures and steps they will take to determine and recommend a final workstation configuration for each county.

The SOS believes that the composition of peripherals on the end-users desktop could include a laser printer, an image scanner (one per workstation), a bar code reader and a label printer. The SOS intends to implement alternative processes that allow the very low population counties to perform the same operations as the rest of the counties, perhaps without some of the additional peripherals, such as bar code readers and label printers. Likewise some of the higher volume counties may have special peripherals such as higher speed printers and scanners. Vendors' proposals shall contain a description of the procedures and steps they will take to determine if existing peripherals in each of Arkansas' counties and the SOS's Office can be used with the proposal network and software solution. Vendor's proposals shall contain a description of the procedures and steps they will take to determine and recommend a final peripheral configuration for each county.

The SOS believes that the composition of software on an end-user desktop would include MS Office, drivers for peripherals and Norton anti-virus. The vendor will know that the following applications will potentially be running on the workstations at the county and state level.

- ❑ MS Office Suite, including, at the least, MS Word, Excel, and MS Access Database applications.
- ❑ Electronic messaging applications such as Microsoft Outlook electronic mail.
- ❑ Norton Antivirus.
- ❑ Ballot software; the election official may have additional software purchased by the counties for managing ballots and elections.

Vendors' proposals shall contain a description of the procedures and steps they will take to assure the compatibility of their software to operate in concurrent sessions with these software packages on end-user desktop workstations connected to the statewide voter registration system.

Bar Code Readers and Printers

The vendor's proposal shall provide technical and operational specifications for a bar code reader/scanner and a cable for use with workstations running the statewide voter registration application. The vendor's proposal shall provide an estimated price of the recommended bar code scanner. While the costs shall be included in the cost proposal packet, they will NOT be considered as part of the vendor's cost proposal.

The vendor's proposal must provide technical and operational specifications for a label printer that can include bar codes on printed labels and work with the modules of the statewide voter registration application. The vendor's proposal shall provide an estimated price of the recommended label printer. While the costs shall be included in the cost proposal packet, they will NOT be considered as part of the vendor's cost proposal.

Scanners

The vendor's proposal shall provide technical and operational specifications for (1) a personal document scanner, (2) a medium-duty document scanner, and (3) a heavy-duty document scanner that will be full compatible with and support the document imaging functions of the statewide voter registration system. Counties will use the personal document scanners for immediate scanning and digitized signature clipping. Counties will use the medium-duty and heavy-duty scanners for batch scanning and digitized signature clipping. The vendor's proposal shall provide an estimated price of each of the recommended document scanners. While the costs shall be included in the cost proposal packet, they will NOT be considered as part of the vendor's cost proposal.

The vendor's proposal shall describe the software drivers for the proposed scanners and state whether the drivers are commercially available or have been written specifically for the scanner.

The vendor's proposal shall identify and describe all scanning support software, including third-party software, required to operate the scanners with the statewide voter registration system.

Laser Printers

The vendor's proposal shall provide technical, operational, and duty-cycle specifications for (1) a medium-duty laser printer and (2) a heavy-duty laser printer for use with the modules of the statewide voter registration system. The printers shall have a multipurpose document feed that can accept and print on envelopes and specialized documents. The printers shall be able to print on various special stock and sheets of labels. The vendor's proposal shall identify and describe all scanning support software, including third-party software, required to operate the scanners with the statewide voter registration system. The vendor's proposal shall provide an estimated price of each of the recommended printers. While the costs shall be included in the cost proposal packet, they will NOT be considered as part of the vendor's cost proposal.

Support and Maintenance

Support of network infrastructure inside the SOS's WAN is completely the responsibility of the SOS. Support of network problems and all issues not covered in the proposed Service Level Agreement (below) will be handled by the SOS or his designee.

Vendor proposals shall contain a narrative of the proposed service level agreement through which the vendor shall provide on-going support and maintenance during and after conclusion of the warranty period. The narrative shall include response times and the nature of the response that the contractor shall provide.

The SOS defines response time as the maximum time period that will elapse between initial SOS's request and acknowledgement and commencement of resolution.

The response time to a support request to the vendor is governed by the level of priority of the request as determined by the SOS's Office, as follows:

Severe: Critical functionality failure exists with excessive risk to the ability of Arkansas's election officials to use the system. System or application catastrophic failure has occurred or is very likely to occur imminently.

High: Desired functionality is missing. There is a high risk that the application will not perform critical functions. The issue stops Arkansas's election officials from performing a function. No work-around is available.

Medium/Low: Desired functionality is not as indicated in requirement, or the application misses election officials' expectations for delivering the functionality. Work-around is available. Some risk exists. May be inconvenient to Arkansas's election officials for a period of time not to exceed two weeks. OR--The matter is largely a cosmetic problem with no risk.

Vendor's proposed service level agreement shall include three (3) levels of onsite and telephone software support at the SOS's central server locations for 7 X 24 coverage with varying levels of response time depending upon the priority established by the SOS's Office:

During peak election periods (50 days prior to any election and 20 days after any election):

- **Critical--immediate phone response, 2 hours onsite response

- **High--1 hour phone response, 3 hours onsite response

- **Medium/Low--2 hour phone response, 4 hours onsite response

During off-peak periods:

- **Critical--1-hour phone response, 3 hours onsite response

- **High--2-hour phone response, 4 hours onsite response

- **Medium--3-hour phone response, same day onsite response

Vendor proposals shall contain a description of the escalation procedure that the firm will follow to handle support calls and assure a timely resolution of support and maintenance requests, satisfactory to the SOS's Office.

Vendor proposals shall contain a description of the software used by the vendor to track and report on problems reported to the help desk. Vendors shall agree in their proposals to provide reports, on request, to the SOS's office detailing the problems reported and their open/closed status.

Vendor proposals shall contain a description of their proposed service level agreement for upgrades to the software in a timely manner for changes required by law in regards to all system functions. Vendor proposals shall include a description of specific plans to provide state and federal mandated system changes.

Vendor proposals shall contain a description of their service level agreement to provide periodic software updates for enhancements requested by the SOS's Office.

Vendor's proposed service level agreement shall include description of the contractor's software enhancement program including a regular schedule of software updates.

The vendor shall provide one technical support contact that the SOS System Administrator can use to directly communicate technical issues.

The SOS will ask each county to appoint one person as their local VR system specialist and attempt to channel all support communications through that single person.

Vendors in their cost proposals shall provide a cost for three years of maintenance and support of the Arkansas statewide voter registration system.

Duration of Support -Warranty Period

The warranty period for the statewide voter registration system solution provided by the vendor to the State of Arkansas shall extend from acceptance of the vendor's complete implementation of the statewide voter registration system until 20 days after the satisfactory use of the system in a Federal election. The first scheduled Federal election after the anticipated complete implementation of the statewide voter registration system is in May 2006.

Annual Maintenance after Warranty Period

An annual maintenance agreement beyond the first year warranty period must be supplied with the vendor's proposal.

The SOS will have the option to renew the maintenance agreement at the annual anniversary date of the maintenance contract.

Maintenance renewal shall not be construed as license renewal. The SOS owns a perpetual use license with acceptance of the RFP contract. Should the SOS decide to discontinue maintenance with the vendor, the SOS will maintain the right to continue to use the software without upgrades.

Cost Proposal Content and Format

Vendors shall submit their cost proposals containing the cost proposal content and in the format of the spreadsheet in Attachment 1. The SOS will provide a Microsoft Excel spreadsheet to vendors after the pre-proposal conference.

Additional Requirements

Offerors must respond to all requirements in writing with an explanation of how their proposed system conforms to each of the specifications. A simple "Yes", "No" or "Conform" response to any specification, without sufficient narrative to allow the SOS to evaluate the merit of the vendor's offering, may result in dismissal of the entire proposal. No exceptions to any specification will be accepted; any exceptions will result in immediate dismissal of the entire proposal.

Offerors must include a notarized statement attesting that no state or local elected or appointed official in Arkansas has been promised or provided any compensation, consideration, campaign contributions, or future employment for any official, or any member of any state or local official's family, by any member of offeror's corporation, or any agent or representative of such offering corporation, connected in any way with the procurement of a VRS by either the SOS or by any county.

No employee of the State of Arkansas whose duties as such employee includes matters relating to or affecting the subject matter of this RFP or an ensuing contract, shall, during the term of this RFP and any ensuing contract and while so employed, become or be an employee of any offeror or subsequent contractor or any entity that is a party to any offer or contract pursuant to this RFP.

Affirmation regarding Bribery Convictions (appended, see addenda).

Affirmation Regarding Other Convictions (appended, see addenda).

Payment Schedule For Services

Specific dates and deliverables define the payment schedule for project services. The contractor may submit invoices on specific dates based on the completion and acceptance of related deliverables. No invoice will be approved unless the associated deliverable(s) have been approved and accepted by SOS. A percentage of the total contract cost for services may then be invoiced based on the following schedule.

Deliverable	Suggested Milestone	Payment %
Signed contract plus accepted detailed project management plan	31-Dec-04	5
Revised, detailed functional requirements list	31-Jan-05	5
Detailed system design; data conversion plan; data conversion test plan; internal test and quality control plan	28-Feb-05	10
Completed data conversion trial and test results; completed internal test results; revised implementation schedule; acceptance of training plan; acceptance of security/BCP plan	30-Apr-05	10
Completion of first round of user training for testers; Successful completion of User Acceptance testing	30-May-05	40
Completion of first round of converted counties	30-Jun-05	5
Completion of second round of converted counties	31-Jul-05	5
Completion of third round of converted counties	31-Aug-05	5
Full implementation of statewide voter registration system and network	31-Dec-05	5
Successful use of system in first Federal Election (end of warranty period; begin first year of maintenance)	30-Jun-06	10
		100

Statement of Liability

The SOS shall demonstrate reasonable care but shall not be liable in the event of loss, destruction, or theft of contractor-owned equipment, software, or technical literature to be delivered or to be used in the installation of deliverables. The vendor is required to retain total liability for software, and technical literature until the deliverables have been accepted by the “authorized agency official”. At no time will the SOS be responsible for or accept liability for any vendor-owned items.

Independent Price Determination

By submission of this proposal, the offeror certifies, and in the case of a joint proposal, each party thereto certifies as to its own organization, that in connection with this proposal:

The prices in the proposal have been arrived at independently, without collusion and that no prior information concerning these prices has been received from or given to a competitive company.

If there is sufficient evidence of collusion to warrant consideration of this offer by the office of the Attorney General, all offerors shall understand that this paragraph may be used as a basis for litigation.

Inspection of Work Performed

The SOS, or his authorized representatives, shall at all reasonable times, have the right to enter into premises where duties under the contract are being performed to inspect, monitor or otherwise evaluate the quality, appropriateness and timeliness of work being performed. The contractor and all subcontractors must provide access to all reasonable facilities and provide assistance, if deemed necessary by the requesting agency/personnel. All inspections and evaluations shall be performed in such manner as will not unduly delay work.

Warranty

A warranty shall begin on the date the system is accepted as operational and put into service by the SOS and the county accepting the installation. The warranty must be for the period specified on the official Cost Proposal . All necessary adjustments of products not caused by accident or misuse through fault or negligence of the user, shall be borne by the vendor at his own expense, including labor and travel to/from the user location.

The offeror must:

Clearly define in detail the warranty period for software.

Define the provisions of the warranty regarding response time for service and support.

Outline the standard or proposed plan of action for correcting software problems during the warranty period.

Offerors must itemize any products, services, and labor that are excluded from warranty.

Type of Contract

This will be a one (1) year contract to be in effect from date of award with option to renew six (6) additional times in up to one (1) year increments. Contract may be renewed upon agreement in writing between the SOS and the contractor. All invoices shall be submitted to the SOS, and must show an itemized list of charges by type of software, service, etc. The SOS will make payment in accordance with applicable State of Arkansas accounting procedures upon acceptance. The SOS may not be invoiced in advance of the delivery and acceptance of any deliverable. The SOS reserves the right to increase the quantities on any item awarded during the term of this contract.

It is the intent of the SOS to use normal state terms and conditions boilerplate, combined with this RFP and the vendor's proposal as the basis for a contract.

ADDENDA

Minority Business Policy

Minority participation is encouraged in this and all other procurements by state agencies. "Minority" is defined by Arkansas Code Annotated 1-2-503 as "black or African American, Hispanic American, American Indian or Native American, Asian, and Pacific Islander". The Division of Minority Business Enterprise of the Department of Economic Development conducts a certification process for minority businesses. Offerors unable to include minority-owned businesses as subcontractors "may explain the circumstances preventing minority inclusion".

ATTACHMENT 1: COST PROPOSAL SPREADSHEET

Vendors shall submit their cost proposals in the following format.

Total cost for providing all required and proposed management services, vendor-supplied software licenses, technical assistance, testing, conversion activities, technical assistance, training, and documentation

(NOTE: This number is the one that will be used in the cost proposal point calculation.)

(NOTE: The remainder of the cost data provided will be used by the Secretary in estimation of the proposed system's total cost of ownership.)

Proposed maintenance and support cost for the first year after expiration of any warranties provided by the vendor

Proposed maintenance and support cost for the second year after expiration of any warranties provided by the vendor

Proposed maintenance and support cost for the third year after expiration of any warranties provided by the vendor

List and cost of all third-party software licenses required for installation and implementation of the system as proposed

Description	Number required	Total estimated cost
Server Operating System licenses		<input type="text"/>
Server DBMS licenses		<input type="text"/>
Server software licenses for backup (specify)		<input type="text"/>
Other server software licenses (specify)		<input type="text"/>
Other server software licenses (specify)		<input type="text"/>

Other server software licenses (specify)		<input type="text"/>
Other server software licenses (specify)		<input type="text"/>
Client workstation operating system license	1	<input type="text"/>
Client workstation DBMS license	1	<input type="text"/>
Other client workstation license (specify)	1	<input type="text"/>
Other client workstation license (specify)	1	<input type="text"/>
Other client workstation license (specify)	1	<input type="text"/>
Other client workstation license (specify)	1	<input type="text"/>
Other client workstation license (specify)	1	<input type="text"/>

Proposed hourly rate for the contractors to provide software or service enhancements after expiration of any warranties provided by the vendor.
(These rate quotations must be valid for one year from the date of any contract award.)

Project Manager	<input type="text"/>
Network Administrator	<input type="text"/>
Systems Analyst/Programmer	<input type="text"/>
Systems Programmer	<input type="text"/>
Database Analyst/Programmer	<input type="text"/>
Technical Writer	<input type="text"/>
Application Trainer	<input type="text"/>

Required Hardware in the proposed configuration:

	Number	Total estimated cost
Server Specifications and Use required in the proposed configuration		

(Repeat this item as often as necessary to complete the proposed configuration)

Required Network equipment in the proposed configuration:

(Repeat the item as often as necessary to complete the proposed network configuration in the central server facility)

Item (specify):

Recommended county network equipment in the proposed configuration:

(Repeat the item as often as necessary to complete the proposed network configuration in the county facilities)

Item (specify):

Recommended Medium-duty laser printer:

1

Recommended Heavy-duty laser printer:

1

Recommended desktop document scanner

1

Recommended Heavy-duty document scanner

1

Recommended Bar Code scanner

1

Disclosure and Certification Form

Proposers must complete and submit with their proposal the Contract and Grant Disclosure and Certification Form required by Governor's Executive Order 98-04. The form is provided as an attachment.

PROPOSAL AFFIDAVIT

A. AUTHORIZED REPRESENTATIVE

I HEREBY AFFIRM THAT:

I am the [title] _____

And the duly authorized representative of [business name]

And that I possess the legal authority to make this Affidavit on behalf of myself and the business for which I am acting.

B. AFFIRMATION REGARDING BRIBARY CONVICTIONS

I FURTHER AFFIRM THAT:

Neither I, nor to the best of my knowledge, information, and belief, the above business, or any of its officers, directors, partners, or any of its employees directly involved in obtaining or performing contracts with public bodies has been convicted of, or has had probation before judgment imposed, or has pleaded *nolo contendere* to a charge of bribery, attempted bribery, or conspiracy to bribe in violation of Arkansas law, or of the law of any other state or federal law, **except as follows** [indicate the reasons why the affirmation cannot be given and list any conviction, plea, or imposition of probation before judgment with the date, court, official or administrative body, the sentence or disposition, the name(s) of person(s) involved, and their current positions and responsibilities with the business]:

C. AFFIRMATION REGARDING OTHER CONVICTIONS

I FURTHER AFFIRM THAT:

Neither I, nor to the best of my knowledge, information, and belief, the above business, or any of its officers, directors, partners, or any of its employees directly involved in obtaining or performing contracts with public bodies has:

(a) been convicted under state or federal statute of a criminal offense incident to obtaining, attempting to obtain, or performing a public or private contract, fraud, embezzlement, theft, forgery, falsification or destruction of records, or receiving stolen property;

(b) been convicted of any criminal violation of a state or federal antitrust statute;

(c) been convicted under the provisions of Title 18 of the United States Code for violation of the Racketeer influenced and Corrupt Organization Act, 18 U.S.C. 1961 *et seq.*, or the Mail Fraud Act, 18 U.S.C. 1341 *et seq.*, for acts arising out of the submission of bids or proposals for a public or private contract;

(d) been convicted of conspiracy to commit any act or omission that would constitute grounds for conviction or liability under any law or statute described in subsection (a), (b), or (c) above;

(e) been found civilly liable under a state or federal antitrust statute for acts or omissions in connection with the submission of bids or proposals for a public or private contract;

(f) admitted in writing or under oath, during the course of an official investigation or other proceeding, acts or omissions that would constitute rounds for conviction or liability under any law or statute described above, **except as follows** [indicate reasons why the affirmation cannot be given, and list any conviction, plea, or imposition of probation before judgment with the date, court, official or administrative body, the sentence or disposition, the name(s) of the person(s) involved and their current positions and responsibilities with the business, and the status of any debarment].

Contract and Grant Disclosure and Certification Form

F-1

Failure to complete all of the following information may result in a delay in obtaining a contract, lease, purchase agreement, or grant award with any Arkansas State Agency.

SOCIAL SECURITY NUMBER	FEDERAL ID NUMBER	SUBCONTRACTOR:	SUBCONTRACTOR NAME:
TAXPAYER ID #: ----	OR ----	<input type="checkbox"/> Yes <input type="checkbox"/> No	
IS THIS FOR:			
TAXPAYER ID NAME: <input type="checkbox"/> Goods? <input type="checkbox"/> Services? <input type="checkbox"/> Both?			
YOUR LAST NAME:		FIRST NAME:	M.I.:
ADDRESS:			
CITY:	STATE:	ZIP CODE:	COUNTRY:

AS A CONDITION OF OBTAINING, EXTENDING, AMENDING, OR RENEWING A CONTRACT, LEASE, PURCHASE AGREEMENT, OR GRANT AWARD WITH ANY ARKANSAS STATE AGENCY, THE FOLLOWING INFORMATION MUST BE DISCLOSED:

F o r I n d i v i d u a l s *

Indicate below if: you, your spouse or the brother, sister, parent, or child of you or your spouse is a current or former: member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee:

Position Held	Mark (✓)		Name of Position of Job Held [senator, representative, name of board/ commission, data entry, etc.]	For How Long?		What is the person(s) name and how are they related to you? [i.e., Jane Q. Public, spouse, John Q. Public, Jr., child, etc.]	
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Relation
General Assembly							
Constitutional Officer							
State Board or Commission Member							
State Employee							

☐ None of the above applies

F o r a n E n t i t y (B u s i n e s s) *

Indicate below if any of the following persons, current or former, hold any position of control or hold any ownership interest of 10% or greater in the entity: member of the General Assembly, Constitutional Officer, State Board or Commission Member, State Employee, or the spouse, brother, sister, parent, or child of a member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee. Position of control means the power to direct the purchasing policies or influence the management of the entity.

Position Held	Mark (✓)		Name of Position of Job Held [senator, representative, name of board/commission, data entry, etc.]	For How Long?		What is the person(s) name and what is his/her % of ownership interest and/or what is his/her position of control?		
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Ownership Interest (%)	Position of Control
General Assembly								
Constitutional Officer								
State Board or Commission Member								
State Employee								

***NOTE: PLEASE LIST ADDITIONAL DISCLOSURES ON SEPARATE SHEET OF PAPER IF MORE SPACE IS NEEDED**

Contract and Grant Disclosure and Certification Form

☐ None of the above applies

****NOTE: PLEASE LIST ADDITIONAL DISCLOSURES ON SEPARATE SHEET OF PAPER IF MORE SPACE IS NEEDED***

Contract and Grant Disclosure and Certification Form

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this contract. Any contractor, whether an individual or entity, who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the agency.

As an additional condition of obtaining, extending, amending, or renewing a contract with a state agency I agree as follows:

1. Prior to entering into any agreement with any subcontractor, prior or subsequent to the contract date, I will require the subcontractor to complete a **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM**. Subcontractor shall mean any person or entity with whom I enter an agreement whereby I assign or otherwise delegate to the person or entity, for consideration, all, or any part, of the performance required of me under the terms of my contract with the state agency.

2. I will include the following language as a part of any agreement with a subcontractor:

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this subcontract. The party who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the contractor.

3. No later than ten (10) days after entering into any agreement with a subcontractor, whether prior or subsequent to the contract date, I will mail a copy of the **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM** completed by the subcontractor and a statement containing the dollar amount of the subcontract to the state agency.

I certify under penalty of perjury, to the best of my knowledge and belief, all of the above information is true and correct and that I agree to the subcontractor disclosure conditions stated herein.

Signature

Title

Date

Entity Contact Person _____ Title _____ Phone No. _____

Agency use only

Agency

Agency

Agency Contact

Contact

Contract or

***NOTE: PLEASE LIST ADDITIONAL DISCLOSURES ON SEPARATE SHEET OF PAPER IF MORE SPACE IS NEEDED**

Contract and Grant Disclosure and Certification Form

Number_____	Name_____	Person_____	Phone No.____	Grant No.

Forms available from Office of Disclosure and Review (501) 682-5407

***NOTE: PLEASE LIST ADDITIONAL DISCLOSURES ON SEPARATE SHEET OF PAPER IF MORE SPACE IS NEEDED**